

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (12/97) (modified)
Approved for use through 09/30/00. OMB 0651-0032
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 35909-20002.00

Total Pages 128

First Named Inventor or Application Identifier

David S. Soane et al.

Express Mail Label No. EM216128053US

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EM 216 128 053US

Date of Deposit: October 14, 1998

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Madeline I. Johnston
Madeline I. Johnston

10/055837

10/26/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets]
4. ☐ Oath or Declaration [Total Pages]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Unexecuted Declaration

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

09/172921

18. CORRESPONDENCE ADDRESS

Madeline I. Johnston
Registration No. 36,174

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792

- ☒ If a paper is untimely filed in the above-referenced application by applicant or his/her representative, the Assistant Commissioner is hereby petitioned under 37 C.F.R. § 1.136(a) for the minimum extension of time required to make said paper timely. In the event a petition for extension of time is made under the provisions of this paragraph, the Assistant Commissioner is hereby requested to charge any fee required under 37 C.F.R. § 1.17(a)-(d) to **Deposit Account No. 03-1952**. However, the Assistant Commissioner is **NOT** authorized to charge the cost of the issue fee to the Deposit Account.

The filing fee has been calculated as follows:

| FOR | NUMBER FILED | NUMBER EXTRA | RATE | CALCULATIONS |
|---|--------------|--------------|------------|--------------|
| TOTAL CLAIMS | 52 - 20 = | 32 | x \$22.00 | \$704.00 |
| INDEPENDENT CLAIMS | 3 - 3 = | 0 | x \$82.00 | \$0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$270.00 | \$0.00 |
| | | | BASIC FEE | \$790.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1,494.00 |
| Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28). If applicable, verified statement must be attached. | | | | \$0.00 |
| Assignment Recording Fee (if enclosed) | | | | \$0.00 |
| TOTAL = | | | | \$1,494.00 |

Please direct all correspondence to:

Madeline I. Johnston
Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792

Dated: October 14, 1998

Respectfully submitted,

By: Madeline I. Johnston
Madeline I. Johnston
Registration No. 36,174

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792

10/26/01
J1057 U.S. PTO

Attorney's Docket No.: ALNS-002PN

PATENT APPLICATION

CONTINUATION PATENT APPLICATION TRANSMITTAL LETTER

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: ET048257297US

Date of Deposit: October 26, 2001

Jc997 U.S. PTO
10/055837
10/26/01

Box Patent Application

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing is the CONTINUATION patent application under Rule 53(b):

Inventor(s): David S. Soane, Stephen E. Barry, Andrew Goodwin, David A. Offord, and
Michael G. Perrott

for the invention entitled: "Molecular Compounds Having Complementary Surfaces to Targets".

1. This application is a continuation of co-pending prior application in the name(s) of the present applicant(s):

Serial No.: 09/172,921

Date Filed: 10/14/1998

The prior application is presently assigned to: Alnis, LLC

2. Enclosed is a copy of the prior application, including the oath or declaration as originally filed. This Continuation Application is filed pursuant to 37 CFR §1.53(b).
3. [X] Enclosed are 31 sheets of ^{format} drawings.
4. [X] Cancel in this application original claims 1-32 and 34-52 of the prior application before calculating the filing fee.
5. [X] A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered claim in the prior application.)
6. [] Amend the specification by inserting before the first line the sentence:
- This is a continuation of application Serial No. ____, filed on ____, the entire disclosure of which is incorporated herein by reference.--

7. The filing fee has been calculated as shown below:

| | No. of Claims Filed | No. of Extra Claims | Rate for Extra Claims | Amount |
|--------------------|------------------------|------------------------|--------------------------|-----------|
| Total Claims | 31 - 20 | 11 | \$ 9.00 | \$ 99.00 |
| Independent Claims | 2 - 3 | | \$ 42.00 | \$ |
| Basic Filing Fee | | | | \$ 370.00 |

Total Fee Enclosed: \$ 469.00

8. [X] A Credit Card Payment Form PTO-2038 for \$469.00 is enclosed for the above application filing fee, together with a Fee Transmittal Sheet.
9. [X] A Verified Statement Claiming Small Entity Status was filed in the original papers in the prior application.
10. The prior application is assigned of record to: Alnis, LLC
11. The power of attorney in the prior application is to: Jacqueline S. Larson 30,279
- a. [X] The power appears in the original papers in the prior application.
- b. [X] A copy of the power in the prior application is enclosed.
- c. [X] Address all future communications to:

Jacqueline S. Larson
Customer No. 23979

Bar Code:



23979

PATENT TRADEMARK OFFICE

Date: Oct. 26, 2001

Respectfully submitted,

Jacqueline S Larson

Jacqueline S. Larson, Reg. No. 30,279
Attorney for Applicant(s)
P.O. Box 2426
Santa Clara, CA 95055-2426
(408) 615-0502

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

| | |
|----------------------|------------------------|
| Application Number | not yet assigned |
| Filing Date | on event date herewith |
| First Named Inventor | David S. Soane |
| Examiner Name | not assigned |
| Group Art Unit | not assigned |
| Attorney Docket No. | ALNS-002PN |

TOTAL AMOUNT OF PAYMENT \$469.00

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☒ Applicant claims small entity status See 37 CFR § 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description | Fee Paid |
|-------------------|-------------------|----------|------------------------|----------|
| 101 | 201 | 370 | Utility filing fee | 370.00 |
| 106 | 206 | 165 | Design filing fee | |
| 107 | 207 | 255 | Plant filing fee | |
| 108 | 208 | 370 | Reissue filing fee | |
| 114 | 214 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | \$370.00 |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 31 | -20** = 11 | 9.00 | 99.00 |
| Independent Claims | 2 - 3** = 0 | 42.00 | 0.00 |
| Multiple Dependent | | | |

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description |
|-------------------|-------------------|----------|--|
| 103 | 203 | 9 | Claims in excess of 20 |
| 102 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 209 | 42 | ** Reissue independent claims over original patent |
| 110 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$99.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description | Fee Paid |
|-------------------|-------------------|----------|--|----------|
| 105 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 239 | 130 | Non - English specification | |
| 147 | 247 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 212 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 213 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 215 | 55 | Extension for reply within first month | |
| 116 | 216 | 200 | Extension for reply within second month | |
| 117 | 217 | 460 | Extension for reply within third month | |
| 118 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 219 | 160 | Notice of Appeal | |
| 120 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 221 | 140 | Request for oral hearing | |
| 138 | 238 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 243 | 230 | Design issue fee | |
| 144 | 244 | 310 | Plant issue fee | |
| 122 | 222 | 130 | Petitions to the Commissioner | |
| 123 | 223 | 50 | Processing fee under 37 CFR § 1.17(q) | |
| 126 | 226 | 180 | Submission of Information Disclosure Statement | |
| 581 | 281 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 269 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

| | | | | | |
|-------------------|----------------------|-----------------------------------|------------------|-----------|--------------|
| Name (Print/Type) | Jacqueline S. Larson | Registration No. (Attorney/Agent) | 30,279 | Telephone | 408-615-0502 |
| Signature | Jacqueline S. Larson | Date | October 26, 2001 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on December 17, 1998.

Colinda D. Lillard
Colinda D. Lillard

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

David S. Soane et al.

Serial No.: 09/172,921

Filing Date: October 14, 1998

For: MOLECULAR COMPOUNDS HAVING
COMPLEMENTARY SURFACES TO
TARGETS AND METHODS FOR THE
SYNTHESIS AND USE THEREOF

Examiner: To Be Assigned

Group Art Unit: 1713

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In complete response to the Notice to File Missing Parts of Application Under
37 C.F.R. § 1.53(c) dated October 29, 1998, attached please find:

- ☐ A combined Declaration and Power of Attorney signed by the inventor and the surcharge of \$130.00 as set forth in 37 C.F.R. § 1.16(e).
- ☒ A declaration signed by the inventor(s) and the surcharge of \$130.00 as set forth in 37 C.F.R. § 1.16(e).
- ☒ A Power of Attorney and Prosecution by Assignee Under 37 C.F.R. § 3.71.
- ☐ A Declaration of Small Entity Status.
- ☐ A Petition for Extension of Time.
- ☐ A verified English translation of the application, and the \$130.00 fee as set forth in 37 C.F.R. § 1.17(k).

- ☐ A preliminary amendment.
- ☒ Other: Certificate Under 37 C.F.R. § 3.73(b) with copy of Assignment; and Return Receipt Postcard.

The filing fee has been calculated as follows:

| FOR | NUMBER FILED | NUMBER EXTRA | RATE | CALCULATIONS |
|---|--------------|--------------|------------|--------------|
| TOTAL CLAIMS | - 20 = | 0 | x \$18.00 | \$0.00 |
| INDEPENDENT CLAIMS | - 3 = | | x \$78.00 | \$0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$260.00 | \$0.00 |
| | | | BASIC FEE | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$0.00 |
| Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28). If applicable, verified statement must be attached. | | | | \$0.00 |
| SURCHARGE FOR FILING MISSING PARTS | | | | \$130.00 |
| | | | TOTAL = | \$130.00 |


- ☒ A check in the amount of 130.00 is attached.
- ☐ Charge \$ to Deposit Account No. 03-1952.

The Assistant Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to Deposit Account No. 03-1952. A duplicate copy of this transmittal is enclosed for that purpose.

Respectfully submitted,

Dated: December 16, 1998

By:


 Madeline J. Johnston
 Registration No. 36,174

Morrison & Foerster ^{LLP}
 755 Page Mill Road
 Palo Alto, California 94304-1018
 Telephone: (650) 813-5840
 Facsimile: (650) 494-0792